GRAY CARY WARE & FREIDENRICH LLP

PTO/SB/05 (11-00)

Approved for use through 10/31/2002, OMB 0651-0032 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## UTILITY PATENT APPLICATION **TRANSMITTAL**

Please type a plus sign (+) inside this box

2102397-910600 Attorney Docket No. Chih Hsin Wang First Inventor A Self Aligned Method of Forming A Semiconductor Memory Array of Floating Gate

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Express Mail Label No. EL 904 936 088 US

APPLICA	TION ELEMENTS	ADD				oner for Patents	
See MPEP chapter 600 conc	MPEP chapter 600 concerning utility patent application contents.			ADDRESS TO: Box Patent Application Washington, DC 20231			
1. X Fee Transmittal Form (e.g., PTO/SB/17)  (Submit an uniqual and a duplicate for fee processing)  Applicant claims small entity status. See 37 CFR 1.27.  3. X Specification [Total Pages 54]  - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure			7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. Computer Readable Form (CRF) b. Specification Sequence Listing on: i. CD-ROM or CD-R (2 copies); or ii. paper c. Statements verifying identity of above copies				
			ACCOMPANYING APPLICATION PARTS  9. Assignment Papers (cover sheet & document(s))  37 CFR 3.73(b) Statement Power of (when there is an assignee)  Attorney				
4. X Drawing(s) (35 U.S.C. 113) [ Total Sheets 23 ]  5. Oath or Declaration [ Total Pages ]			11. English Translation Document (if applicable)  12. X Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations				
Copy from a	Newly executed (original or copy)  Copy from a prior application (37 CFR 1.63 (d))  (for continuation/divisional with Box 18 completed)  Newly executed (original or copy)  13 Preliminary Amendment  Return Receipt Postcard (MPEP 503)  (Should be specifically itemized)			503)			
Signed star named in t	i. DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).  15. Certified Copy of Priority Document(s) (if foreign priority is claimed)  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SI			5 U.S.C. 122			
6. Application Data	or its equivalent.				*********		
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:  Continuation  Divisional  Continuation-in-part (CIP)  Of prior application No.:  Frior application information  Examiner  Group Art Unit.  For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.							
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Name		III					
Address	26379 PATENT TRADEMARK OFF	ICE					
City		State		Zip C	ode		
Country	Tele	ohone	650-833-2433	Fa	x	650-320-7401	
Name (PrintlType)	Alan A. Limbach	Regi	stration No. (Attorne	//Agent)	39.	,749	
Signature	alla a. min	<del></del>		Date		y 26, 2001	

Burden Hour Statement. This form is estimated to take 0.2 hours to complete Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



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## **FEE TRANSMITTAL** for FY 2001

Patent fees are subject to annual revision.

(\$) 2,334.00TOTAL AMOUNT OF PAYMENT

Complete if Known		
Application Number	Not assigned	
Filing Date	Herewith	
First Named Inventor	Chih Hsin Wang	
Examiner Name	Not assigned	
Group Art Unit	Not assigned	
Attorney Docket No.	2102397-910600	

METHOD OF PAYMENT	FEE CALCULATION (continued)					
1 The Commissioner is hereby authorized to charge	3. ADDITIONAL FEES					
indicated fees and credit any overpayments to:	Large Small					
Deposit Account 07-1896	Entity Entity Fee Fee Fee Fee Fee Description	Fee Paid				
Number	Code (\$) Code (\$)					
Account Gray Cary Ware & Freidenrich	105 130 205 65 Surcharge - late filing fee or oath					
Name Charge Any Additional Fee Required	127 50 227 25 Surcharge - late provisional filing fee or cover sheet					
Under 37 CFR 1 16 and 1.17	139 130 139 130 Non-English specification					
Applicant claims small entity status.  See 37 CFR 1.27	147 2,520 147 2,520 For filing a request for ex parte reexamination					
2. X Payment Enclosed:	112 920* 112 920* Requesting publication of SIR prior to					
Check Credit card Money Other	Examiner action					
FEE CALCULATION	113 1,840* 113 1,840* Requesting publication of SIR after Examiner action					
1. BASIC FILING FEE	115 110 215 55 Extension for reply within first month					
Large Entity Small Entity	116 390 216 195 Extension for reply within second month					
Fee Fee Fee Fee Description	117 890 217 445 Extension for reply within third month					
Code (\$) Code (\$)	118 1,390 218 695 Extension for reply within fourth month					
101 710 201 355 Utility filing fee 710.00	128 1,890 228 945 Extension for reply within fifth month					
107 490 207 245 Plant filling fee	119 310 219 155 Notice of Appeal					
108 710 208 355 Reissue filing fee	120 310 220 155 Filing a brief in support of an appeal					
114 150 214 75 Provisional filing fee	121 270 221 135 Request for oral hearing					
	138 1,510 138 1,510 Petition to institute a public use proceeding					
SUBTOTAL (1) (\$) 710.00	140 110 240 55 Petition to revive - unavoidable					
2. EXTRA CLAIM FEES Fee from	141 1,240 241 620 Petition to revive - unintentional					
Extra Claims below Fee Paid						
Total Claims 88 -20** = 68 X 18.00 = 1224	143 440 243 220 Design issue fee					
Independent 8 - 3** = 5 X 80.00 = 400.	144 600 244 300 Plant issue fee					
Multiple Dependent =	122 130 122 130 Petitions to the Commissioner					
	123 50 123 50 Processing fee under 37 CFR 1 17(q)					
Large Entity Small Entity Fee Fee Fee Fee Description	126 180 126 180 Submission of Information Disclosure Stmt					
Code (\$) Code (\$)  103 18 203 9 Claims in excess of 20	581 40 581 40 Recording each patent assignment per property (times number of properties)					
102 80 202 40 Independent claims in excess of 3	146 710 246 355 Filing a submission after final rejection					
104 270 204 135 Multiple dependent claim, if not paid	(37 ČFR § 1.129(a))					
109 80 209 40 ** Reissue independent claims over original patent	149 710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))					
110 18 210 9 ** Reissue claims in excess of 20	179 710 279 355 Request for Continued Examination (RCE)					
and over original patent	169 900 169 900 Request for expedited examination of a design application					
SUBTOTAL (2) (\$) 1624.00	Other fee (specify)					
**or number previously paid, if greater; For Reissues, see above	*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)0.00					

SUBMITTED BY		Complete (if applicable)			
Name (PnntlType)	Alan A. Limbach	Registration No. (Attorney/Agent)	39,749	Telephone	650-833-2433
Signature	ala la Smiter			Date	July 26, 2001

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